

<p style="text-align: center;"><b>KENTUCKY CORRECTIONS</b> Policies and Procedures</p>	<p>Policy Number</p> <p style="text-align: center;">3.11</p> <p>Date Filed</p> <p style="text-align: center;">June 3, 2005</p>	<p>Total Pages</p> <p style="text-align: center;">9</p> <p>Effective Date</p> <p style="text-align: center;">September 20, 2005</p>
<p>Authority/References</p> <p>KRS 18A.043, 196.035, 218A.040 through 218A.130</p> <p>Executive Order: 89-398</p> <p>ACA 4-4063</p>	<p>Subject</p> <p style="text-align: center;"><b>DRUG FREE WORKPLACE EMPLOYEE DRUG TESTING</b></p>	

## I. DEFINITIONS

"Illegal drug" means any controlled substance classified as Schedule I, II, III, IV, V in Chapter 218A.040 through 218A.130 of the Controlled Substance Act, Kentucky Revised Statutes which have not been specifically prescribed by a licensed physician or dentist.

"Prescription drug" means those controlled substances prescribed by a licensed physician or dentist which are used in exactly the manner prescribed by the person for whom the prescription was written.

"Other substance or substances " means any drug, chemical, or substance which has, or could have, the effect of impairing the mind or body, or otherwise affect the senses, responses, motor function, or alter a person's perception while on duty.

"Alcohol" means those substances chemically classified as alcohols which are imbibed into the human body, regardless of the alcohol bearing liquid involved, including liquor, beer, wine, and mixed alcoholic drinks.

"Under the influence" means when an employee's behavior, judgment, coordination, or physical or mental ability appears to be unsafe or unfit for duty or an employee's blood or urine has a detectable amount of alcohol or any other substance or substances.

"Sanctions" means penalties, requirements, or restrictions imposed on an employee for violations or noncompliance with Corrections Drug Free Workplace Policy.

"Blood alcohol test" means analysis of a breath sample by scientifically accepted instrumentation.

"Urinalysis and urine drug screen" means urine samples that are screened for specified drugs and their metabolites using defined cutoffs.

1. Those urines found to be positive by the drug screen shall then be confirmed by gas chromatography mass spectroscopy (GCMS).

Policy Number	Effective Date	Page
3.11	September 20, 2005	2

2. All urine drug screens and confirmations shall be conducted by a Substance Abuse and Mental Health Services Administration (SAMHSA) certified laboratory.

"Reasonable suspicion" for the purpose of this policy, means the quantity of proof or evidence, based on specific, objective facts and any rationally derived inferences from those facts about the conduct of an individual that would lead a reasonable officer, based upon his training and experience, to suspect that the individual is or has been using alcohol or any other substance or substances. Reasonable suspicion is less than probable cause, but substantially more than a mere hunch. Reasonable suspicion shall be based on the totality of the circumstances and one shall articulate the reasons for suspicion.

"Random drug testing" means a process of selection of employees classified in hazardous duty classifications to be tested which a) results in an equal probability that any employee from a group of employees subject to the process will be selected, and b) does not allow management staff the discretion to waive the testing of any employee selected under the process. The Commissioner shall determine the percentage of employees who will be randomly tested on a yearly basis.

"Medical review officer (MRO)" means a licensed physician with knowledge of substance abuse disorders. This officer is responsible for the receipt, review, and interpretation of all confirmed positive test results submitted to Corrections from the drug-testing laboratory. His review shall be performed prior to the transmission of any positive test results to any management officials.

"Management authority", for the purposes of this policy, means the institutional warden, district supervisor, or designee.

"Chain of custody" means a written record of the proper collecting and handling of a urine specimen.

## II. POLICY and PROCEDURE

- A. An employee shall not unlawfully manufacture, distribute, dispense, possess, or use illegal drugs or alcohol on the job, or report to work under the influence of alcohol or any other substance or substances. It is Corrections' intent to maintain a workplace free of these substances, so that all employees may have the opportunity to have a safe, more productive work environment.
- B. An employee shall not be under the influence of alcohol or any other substance or substances. Employees shall be required to submit to a urine drug test or screen for alcohol or any other substance or substances under the following conditions:
  1. Prior to employment, following the initial interview and after a conditional offer of employment has been extended.

Policy Number	Effective Date	Page
3.11	September 20, 2005	3

2. At any time for reasonable suspicion.
  3. After an employee has tested positive, further testing may be conducted at the employer's discretion for up to one year.
  4. Selection of hazardous duty employees for random drug testing shall be made by a computer program that contains all employees classified in hazardous duty positions and are randomly selected by the program. The percentage of employees selected for random drug testing shall be determined by the Commissioner.
- C. Employees shall not be under the influence of alcohol or any other substance or substances that impair one's job performance.
1. When supervisory staff has reasonable suspicion to believe an employee is under the influence of alcohol or any other substance or substances while on duty, the supervisor shall immediately contact the management authority.
  2. The management authority may require the employee to submit to a blood alcohol test or a urine drug screen or both, based on reasonable suspicion.
  3. Any employee refusing to submit to a request for a urine drug screen or blood alcohol test shall be considered under the influence and subject to appropriate disciplinary action.
- D. Alcohol or any other substance or substances shall not be brought on or consumed at the work site, or while on duty.
- E. Any employee having a reasonable suspicion to believe that another employee is illegally using, in possession of, or under the influence of alcohol or any other substance or substances shall immediately report the facts and circumstances to his supervisor.
1. The supervisor shall immediately observe the suspect employee's behavior and take any other appropriate steps to determine whether reasonable suspicion exists.
  2. If reasonable suspicion is determined, the supervisor shall immediately notify the management authority.
- F. An employee shall not consume alcoholic beverages in a public place, while wearing a Corrections uniform or displaying an official Corrections badge or ID.
- G. Any prescription drug brought to the work site or carried by an employee while on duty shall be in its original container.

Policy Number	Effective Date	Page
3.11	September 20, 2005	4

1. The original container shall show the employee as the person for whom the drugs were prescribed and shall have the doctor's name and prescription number.
2. Corrections reserves the right to have an authorized physician determine if a prescription drug or medication adversely affects the ability of the employee to perform his duties.

#### H. Conditions for Testing

All tests described below shall utilize the standardized procedures adopted by Corrections as explained in this policy when testing or screening for alcohol or any other substance or substances.

1. Once offered employment, candidates shall be required to submit to a drug and alcohol test or screen.
2. Reasonable suspicion testing – testing or screening for drugs, alcohol or any other substance or substances may be required if requested by the supervisory authority when in his judgment such authority has reasonable suspicion to believe:
  - (a) An employee's behavior, judgment, coordination, or physical or mental ability appears to be unsafe or unfit for duty;
  - (b) The employee is under the influence of illegal drugs, alcohol, or any other substance or substances and is unfit for duty;
  - (c) An employee shows an unexplained deterioration in individual job performance and attendance; or
  - (d) An employee is involved in the illegal drug trade or is using illegal drugs.
3. An employee is involved in any work-related incident requiring medical attention.
4. Where property damage has occurred and reasonable suspicion exists to believe the employee is under the influence of illegal drugs, alcohol, or any other substance or substances.
5. An employee admits to drug or alcohol abuse.

#### I. Drug Screen Procedures

1. Pre-Test Interviews

Policy Number	Effective Date	Page
3.11	September 20, 2005	5

Designated staff shall escort the employee to a private office where a pre-test interview shall be conducted by designated staff in order to ascertain and document any recent use of prescription or non-prescription drugs. During the pre-test interview, the employee shall be required to sign an authorization which permits the release of the drug results to the management authority. An employee refusing to sign an authorization shall be considered under the influence and subject to appropriate disciplinary action.

## 2. Privacy

Procedures for collecting urine specimens shall allow privacy unless there is cause for a witnessed collection of urine. If there is cause for a witnessed urine collection, the collection shall be witnessed by designated staff of the same sex as the employee. The following circumstances are grounds constituting the need for a witnessed urine collection:

- (a) The individual has altered or substituted a specimen in the past.
- (b) Reason to believe the individual may alter or substitute specimen.
- (c) The individual has tested positive and is now testing as part of the disciplinary process.
- (d) The designated staff observes conduct clearly indicating an attempt to substitute or alter the urine specimen.
- (e) The urine specimen falls outside the normal temperature range.
- (f) The laboratory has determined that the creatinine levels of a previous urine specimen are outside the normal range.

## 3. Integrity of Specimen

Precautions shall be taken to ensure that the urine specimen cannot be tampered with during the collection process.

- (a) Blueing agents shall be placed in the toilet tanks.
- (b) There shall be no other source of water or any other substance in the enclosure where specimens are collected.
- (c) All unnecessary garments such as coats, jackets, sweaters, purses, briefcases, or any other personal items that could be used to conceal items or substances that could be used to alter the urine specimen shall be left outside the collection areas.

Policy Number	Effective Date	Page
3.11	September 20, 2005	6

- (d) The individual shall be instructed to thoroughly wash and dry his hands prior to urination.
- (e) There shall be two (2) staff trained to carry out the drug screening procedures at each test site.
- (f) Latex gloves shall be worn by the designated staff at all times during the collection process.
- (g) A collection cup shall be provided to each individual by the designated staff.
- (h) At least 60 ml of urine shall be collected. If an insufficient amount of urine is given for a Drug Screen and the employee indicates that he shall be unable to produce more urine at that time, the inadequate sample shall be properly disposed of by the designated staff and a newly labeled specimen bottle shall be used.
- (i) When the employee is unable to urinate, he shall be allowed to drink 8 ounces of liquid per hour and permitted a maximum of four hours to produce the specimen. Failure to produce a specimen after that time shall be considered as under the influence.

#### 4. Identity of the Specimen

- (a) When the urine has been collected, either in private or witnessed, the specimen shall be returned to the designated staff.
- (b) The urine specimen shall remain in plain sight of the submitting employee and the designated staff during the completion of the chain of custody procedures.
- (c) In the presence of the submitting individual, the designated staff shall:
  - (1) Close the urine specimen container and seal the container with evidence tape.
  - (2) Label the urine specimen container and include the submitting individual's initials and social security number.
  - (3) Begin the chain of custody form.
  - (4) The submitting employee shall initial that his social security number and initials are correct on the specimen and the chain of custody form.

Policy Number	Effective Date	Page
3.11	September 20, 2005	7

- (5) Place the urine specimen container in a plastic bag and seal with evidence tape.
- (6) Complete the drug testing facilities referral form.
- (7) Place the chain of custody form and the plastic bag containing the urine specimen into a second plastic bag and seal with evidence tape.

#### 5. Custody and Control

- (a) Staff receiving the urine sample shall deposit the urine sample and the chain of custody form in a secured area until transferred to the custody of the drug testing facility.
- (b) When any outside delivery agent is to deliver a urine sample to the laboratory, the designated staff shall ensure that the sample is released to the delivery agent by signature of staff packaging the sample.
- (c) The laboratory personnel conducting the testing shall sign and date the Chain of Custody certifying that the sample was received intact and was properly identified as the employee's.

#### 6. Analysis Process

- (a) An independent laboratory shall perform the screening test on all specimens.
- (b) The initial test shall be the immunoassay testing process.
- (c) A positive result shall be confirmed by GCMS.
- (d) Negative samples shall be discarded.
- (e) Samples testing positive after both the screening and confirmation tests shall be considered positive for the purpose of retaining the specimen. Positive samples shall be retained in a frozen state at least 365 days.
- (f) The laboratory shall report which substance, or substances, the urine sample tested positive for, if any.

#### 7. Notification Process

- (a) Test results shall be reported to the MRO within five (5) working days of receipt of the specimen.

Policy Number	Effective Date	Page
3.11	September 20, 2005	8

- (b) Results shall be transmitted to the MRO in a manner designed to ensure confidentiality of the information.
- (c) The MRO shall notify the management authority of all test results.
- (d) The management authority shall notify the employee by memorandum and schedule a meeting to review the results within ten (10) days of the MRO's receipt of the results. The meeting shall serve as an opportunity for the employee to discuss the test results and provide any additional information that would influence the test results.

J. Final Action

- 1. Appropriate action, which may include disciplinary action, up to and including dismissal, shall be taken for violations of Corrections Drug Free Workplace policy.
- 2. Any employee who tests positive for alcohol or any other substance or substances shall be referred by his management authority to participate in an employee assistance program.
- 3. When deemed appropriate by the management authority, the employee may be required to be evaluated for participation in a drug or alcohol abuse assistance or treatment program. If the evaluation results in the recommendation that the employee participate in a drug or alcohol abuse assistance or treatment program, the employee shall successfully complete a drug or alcohol abuse assistance or treatment program.

K. Confidentiality

- 1. Corrections employees and the laboratory involved in any aspect of the drug testing program shall be required to maintain strict standards of confidentiality.
- 2. Test results of an employee shall not be disclosed without the prior written consent of the employee unless the disclosure would be pursuant to an order of a hearing officer or court of competent jurisdiction.

L. Employee Notification, Training and Education

- 1. At the initial interview for employment, all applicants for positions covered by this policy shall be informed of:
  - (a) The drug free workplace policy.
  - (b) The drug testing or screening procedures.



Policy Number	Effective Date	Page
3.11	September 20, 2005	9

- (c) The requirement of signing an authorization form to release the results of the drug and alcohol test or screen to the management authority.
- 2. Corrections Training shall provide drug education to all employees covered by this policy. The drug education shall include:
  - (a) Types and effects of drugs.
  - (b) Symptoms of drug use and the effects on performance and conduct.
  - (c) The relationship of the employee assistance program to the drug-testing program.
  - (d) Corrections policy prohibiting the use of illegal drugs and alcohol.
  - (e) The reliability of drug testing.
  - (f) Other relevant treatment and confidentiality issues.
- 3. All staff involved in the collection of urine samples shall be trained in this policy and procedure before any drug and alcohol testing or screening of employees is conducted.